

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1920.4A

3/29/85

SUBJ: EMERGENCY PLANNING GUIDANCE FOR THE AIR TRANSPORTATION INDUSTRY

1. PURPOSE. This order provides guidance to FAA organizational elements when preparing emergency planning guidance to the air transportation industry. This order also implements and transmits as Appendix 1, Order 1900.4A, Emergency Planning Guidance for Use by the Transportation Industry.
2. DISTRIBUTION. This order is distributed to the division level in the Office of the Associate Administrator for Development and Logistics, the Air Traffic Operations, Air Traffic Plans and Requirements, Acquisition and Materiel Services, the Offices of Budget, Airport Planning and Programming, Airport Standards, Aviation Policy and Plans, International Aviation, Civil Aviation Security, Airworthiness, Flight Operations, and Program and Regulations Management, Metropolitan Washington Airports, and to the director level in the regions.
3. CANCELLATION. Order 1920.4, Emergency Planning Guidance for the Air Transportation Industry, dated August 20, 1980, is cancelled.
4. EXPLANATION OF CHANGES. This order contains updated references to current organizations, including the Emergency Operations Staff in the Office of the Deputy Administrator.
5. SCOPE. This order applies to FAA headquarters elements having assigned national level program responsibilities for regulating and/or supporting activities of the civil air transportation industry including, but not limited to, air carriers, general aviation activities, fixed-base operators, and airport operators. In preparing industry emergency guidance publications, consideration should be given to those elements contained in paragraph 5 of Order DOT 1900.4A and should follow, as appropriate, the Outline of Emergency Planning Guidance as contained in Attachment 1 of that order.
6. RESPONSIBILITIES.
 - a. To comply with the provisions of paragraph 6a of Order DOT 1900.4A, each FAA headquarters element having responsibilities for preparing emergency planning guidance to the air transportation industry shall provide the following to the Manager, Emergency Operations Staff, ADA-20:

(1) In October of each year, forward publication schedules covering proposed future guidance and/or the revision of existing emergency planning guidance.

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PR/MA)-2; A-X-1

(2) Final draft copy of newly developed emergency planning guidance.

(3) Two copies of published emergency planning guidance and any subsequent changes.

b. The Manager, Emergency Operations Staff (ADA-20) shall review and provide for the Administrator the draft guidance and final products to be transmitted to the Office of Emergency Transportation.


Donald D. Engen
Administrator

Department of Transportation

Office of the Secretary

Washington, D.C.

1920.4A
Appendix 1
3/29/85

ORDER

DOT 1900.4A

8-31-79

SUBJECT: EMERGENCY PLANNING GUIDANCE FOR USE BY THE TRANSPORTATION INDUSTRY

1. PURPOSE. This Order transmits the outline of emergency planning guidance for application by the transportation industry. This outline is designed for the use of corporate entities and proprietorships in the Transportation Industry in the development of specific self-protection plans.
2. CANCELLATION. DOT 1900.4, Emergency Planning Guidance for Use of Transportation Industry of 6-14-72.
3. SCOPE. This Order applies to the Office of the Secretary (OST) and the operating administrations. The Order also applies for information to the transportation operating and support agencies (as defined in The National Plan for Emergency Preparedness, Office of Emergency Planning, Washington, 1964.)
4. REFERENCES.
 - a. Department of Transportation Act, PL 89-670 (10-15-66), which established the Department and cites the Secretary's responsibilities.
 - b. Executive Order 10952, Assigning Civil Defense Responsibilities to the Secretary of Defense (7-22-61).
 - c. Executive Order 11490, as amended, Assigning Emergency Preparedness Functions to the Secretary of Transportation and the transportation operating and support agencies (10-30-69).
 - d. The National Plan for Emergency Preparedness, OEP, Washington, 1964, which establishes preparedness responsibilities of the Federal Government.
5. BACKGROUND.
 - a. Except for the Civil Aeronautics Board all of the transportation operating and support agencies as defined in Chapter 6, Reference 4d, are required to publish to their segments of the transportation

DISTRIBUTION: All Secretarial Offices
All Operating Administrations
Special Distribution List (Attachment 2)

OPI: Office of
Emergency
Transportation,
RSPA

industry, protection guidance materials and to promote a national program to stimulate disaster preparedness and control in order both to minimize the effects of overt or covert attack on facilities or other resources. This guidance shall include, but not be limited to, organizing and training facility employees, personnel shelter, evacuation plans, records protection, continuity of management, emergency repair, dispersal of critical facilities, and mutual aid associations for emergency (Section 3002, Reference 4c).

b. For many years, transportation operating and support agencies have provided facilities protection guidance to the field. Such guidance should:

- (1) be comprehensive;
- (2) provide a sound basis for corporate and proprietorship planning;
- (3) be compatible with varying corporate planning methods;
- (4) accommodate possible modal peculiarities; and
- (5) be in consonance with national civil defense plans and programs and operations of the Department of Defense under Executive Order 10952.

5. ACTION.

a. Transportation operating and support agencies within DOT:

- (1) shall prepare publication schedules to fulfill their responsibilities for future development and systematic revision of existing guidance to industry.
- (2) shall prepare and publish, in accordance with applicable publication schedules, detailed industry emergency planning guides following the Outline of Emergency Planning Guidance, Attachment 1, pages 1-11.
- (3) shall transmit, prior to implementation, publication schedules and industry emergency planning guides to the Office of Emergency Transportation, Research and Special Programs Administration (RSPA).

b. Transportation Operating and support agencies outside DOT (with whom this Order has been coordinated and to whom it is issued for information) are requested to:

- (1) use the Outline of Emergency Planning Guidance (Attachment 1) as a basis for the preparation and publication of detailed industry guides.
- (2) prepare and coordinate publication schedules; and,
- (3) send one copy of all guides they publish to:
Director of Emergency Transportation, Research and
Special Programs Administration (DPB-30), Department of Transportation, Washington, D.C. 20590.

FOR THE SECRETARY OF TRANSPORTATION:



Robert L. Fairman
Deputy Assistant Secretary
for Administration

OUTLINE OF EMERGENCY PLANNING GUIDANCE
FOR APPLICATION BY THE TRANSPORTATION
INDUSTRY

1. DISCUSSION. The following outline sets forth the table of contents which guides for industry should follow, together with some elaboration of the information which should be included in individual sections. Changes and refinements, of course, should be made as may facilitate the presentation of material or as may be appropriate to the circumstances of the various industries to which the guides are addressed. Where appropriate, operating and support agencies should prepare similar plan outlines for lower echelons typical of large companies or for smaller proprietorships. The degree of sophistication should be graded to the need of an average company of large, medium or small size.
2. PREFACE AND INTRODUCTION.
 - a. Preface. A preface may be desirable to identify the agency or agencies, particularly those external to the proponent or parent agency, which prepared or assisted in the preparation of the guide. It may further contain authority for the work and a brief statement giving an overview of the coverage.
 - b. Introduction. If a preface is not used, the suggested content for it should be incorporated in the introduction. In any case, the latter should outline in general terms the scope of the guide; the number of volumes and attachments to be contained in it, and an explanation of the format if considered necessary. The basic purpose of industrial emergency planning, i.e., the need to anticipate the effects of enemy action on the economy of the United States in nuclear war, should be included. This should be followed in subsequent paragraphs of Part I by a sufficient discussion of the necessary planning assumptions to enable the corporate planner to design a suitable plan for his or her firm.
3. PART I - GENERAL INFORMATION.
 - a. Planning Assumptions. These are needed to provide the Corporate Planners with a framework within which the corporate plan can be developed. These assumptions should range from international tension

to nuclear war. The National Plan for Emergency Preparedness, of the Office of Emergency Preparedness (OEP), Executive Office of the President (1964), or other sources from the Federal Emergency Management Agency (FEMA), the successor to OEP, may be used as basis for this part of the guide.

- (1) Types of War. A few paragraphs should be devoted to a brief description of the generally accepted levels of warfare. This includes COLD WAR, LIMITED WAR and GENERAL WAR.
- (2) Weapons Capabilities. This section should provide a brief description of the magnitude of nuclear weapons effects as a basis for planning.
- (3) Targets. The kinds of facilities which are expected to be attacked may be included here.
- (4) Warning. The types of warning and warning systems may be discussed here. North American Air Defense Command (NORAD), the Joint Chiefs of Staff (JCS) and FEMA are sources of data.
- (5) Duration of Emergency. This paragraph should provide a general discussion of the nature of the emergency and its probably duration.
- (6) Post Attack Conditions. Projections of these conditions are available and should be included here. (See Mathematics Computation Laboratory of FEMA.)
- (7) Effects on Resources and Systems and Ecological Effects. It is appropriate to include brief discussions of these topics at this point in the guide.

b. Natural and Man-Made Hazards.

- (1) Natural Hazards. This section should discuss the effects of natural phenomena and the need to plan protection against them
- (2) Operating Hazards. The need to protect facilities and personnel against internal hazards inherent in the operation should be discussed here.
- (3) Espionage and Sabotage Methods and Objectives. These ever present threats to corporate existence must be included in considerable detail. Valuable background is available to the planner from FEMA sources.

- (4) Direct Enemy Attack. The possibilities of nuclear attack, chemical-biological-radiological warfare, high explosive conventional weapons and incendiaries as threats should be discussed in this section. (See same source as Paragraph 3b(3) p. 2.)
 - c. Government Plans. Existing government plans provide guidance to industrial enterprise in the preparation of corporate plans. Actually the viability of the society can only be secured if all planning systems interlock and interface with each other. Therefore agency heads should include here background data on existing Federal Government plans, Departmental and agency supporting plans and available information on appropriate State and local plans. Emphasis should be placed on the emergency plans of DOT and the agency concerned.
 - d. Charts and diagrams. Charts and diagrams can be inserted at this point in the guide. These should include emergency transportation Regional organization and location charts, headquarters and regional organizations, modal network charts and other visual aids to assist the users of the guide in relating general emergency problems to specific industrial organization situations.
4. PART II - PREPARATION OF THE COMPANY EMERGENCY PROGRAM. This is the detailed discussion of the methods suggested for preparation of the corporate plan and program by the planner. It should include, as a minimum, the following considerations:
- a. General.
 - (1) Responsibility of Management. This paragraph or section should addresses the responsibility of the line of management for emergency preparedness. The need for full information up and down is explored. This includes the need for knowledge of Federal, State and local government plans, joint participation with other companies, establishment of internal planning systems, and the periodic review and updating of all plans.
 - (2) Responsibility of Staff. This section should discuss the need for staff coordination and methods of achieving it. The use of special emergency planning staff officers and outside consultants should be explored.
 - b. Concepts of Emergency Planning. This section should include guidance on the development of built-in emergency capability. The need for consideration of action at all levels, including organization, training, funding, and the relation of these emergency activities to similar routine activities is discussed.

c. Continuity of Management.

- (1) Corporate Continuity is a primary consideration. The assurance of the continued viability of a functioning Board of Directors and the Management Group and/or Staff must be detailed. The need for survival systems as well as provision for emergency by-laws and emergency acting or alternate directors (to the extent permitted by law and corporate by-laws) should be explored in depth.
- (2) Emergency Management Committees. An Emergency Management Committee offers much to assist the planner in meeting corporate needs. Its use may provide a backstop to emergency by-laws. It relieves the pressure of getting a regular quorum together. It must be created in accordance with state laws. (Note: In the text of the guide a typical by-law on continuity of a Board of Directors and an Emergency Management Committee would be useful. See Agency General or Chief Counsel for assistance in developing.)
- (3) Management Relocation. This paragraph should discuss alternate headquarters, emergency operating centers, and their use. Field units and plants or installations and arrangements for their designation as alternate headquarters should be included in this portion.

- d. Protection of Personnel. The value of the individual member of the company is paramount. The need for physical facilities to protect against natural disaster and enemy attack should be discussed here. The survival of the corporation as well as the country depends upon survival of competent individuals.
- e. Emergency Control and Communication Centers and their organization and use should be examined in the text of the guide.
- f. Shelters must be discussed with much detail and, for the benefit of the corporate planner, with references to available guidance from FEMA.
- g. Emergency Services. Fire fighting, first aid and medical assistance programs and other services required should be detailed in depth. Use of emergency planning coordinators at facilities, requirements for communications, engineering (maintenance and rescue), guards and wardens, information services, chemical-biological-radiological warfare, sanitation and transportation should be discussed here.

- h. Training. A worthwhile program requires training, and a training officer should be appointed. This paragraph should include consideration of emergency assignments, inventory of job skills, rotation of personnel and their recall. The use of contractors and outside assistance in training should be covered. The coverage of training in the guide should include development, training stages, instructor training, training of individuals, team training, functional unit training, collective training, and training in combined operations with mutual aid member organizations. Realistic training in simulated conditions is important.
- i. Records of Preservation. The guidance should include instruction in techniques of records preservation, selection of records, form of retention (i.e. microfilming). Storage location, disposal and updating should be covered.
- j. Protection of Installations.
 - (1) Next to personnel this item is most important. This guidance outlines the planning steps to protect all facilities. Provision is made for the planning coordinator to supervise the effort; for employee and public relations; and for inspections and reports. Personnel precautions should be covered here as are methods of investigation, guard service, organization of the guard, instructions, qualifications, training weapons, uniforms and equipment, supervision, and related functions.
 - (2) Restricted areas and physical facilities for security including protective alarm systems, fire protection, damage control, safety and other matters should be detailed.
- k. Communications.
 - (1) Here the guidance to industry should stress the need for complete systems of sufficient redundancy to offer assurance of prompt and continuous transmission. Requirements should be listed in detail and should include an initial warning system; company communication with the modal agency and the Department of Transportation Emergency Organization regional and national offices should be covered. The guidance should provide for intra-company management communications and communications with employees. There should be inter-company facilities and the provisions of Federal, State and local regulations should be delineated clearly.
 - (2) The use of telephone, telegraph, radio and other facilities should be covered.

1. Rehabilitation. Casualty and damage assessment procedures should be prepared and rehearsed. If possible, this should be tied to the annual Civil Defense Exercises held nationwide. Such planning must contemplate post-disaster reconstruction and operation.

5. PART III - SAMPLE PLANS AND CHECKLISTS.

- a. As an illustration of the use of Part I, General Information, and in implementation of Part II, Preparation of the Company Emergency Program, a sample plan (or plans for transportation companies of varying sizes) is included in this Part. This Part can be published with or separately from the first two.
- b. An effort should be made to develop a typical plan format which follows the general practice of the mode concerned. Although all successful planning systems follow the same sorts of logical thought processes, modal and corporate peculiarities will dictate variations. The sample plan should follow typical corporate planning systems. This tends to eliminate unfamiliarity and make the emergency plan a part of the routine planning of the enterprise. Emphasis must be placed on adaptability to corporate systems which may differ from the sample. This outline can be modified for large corporate headquarters, field offices and agencies, and smaller companies. As a minimum there should be included:

(1) Introduction.

- (a) A letter signed by the Chief Executive Officer of the firm or corporation announcing the plan, its application, and designating the official responsible for development and maintenance of the company plan.
- (b) A detailed coverage of the:

1 purpose of the plan (see Figure 1 for an example),

Figure 1. Example of a Purpose of a Plan

To prepare XYZ Company to meet the threat of nuclear attack on the United States, survive the onslaught and be in position to continue operations post-attack.

- 2 scope of the plan (what it covers and its application);
- 3 listing and quotations from applicable by-laws; and,
- 4 implementing requirements.

(c) To attain the goals of the plan certain actions are recommended:

- 1 establish planning committees,
- 2 develop a plan suited to the situation of the Company and coordinate with the overall corporate planning structure,
- 3 prepare the Company to operate in isolation, and
- 4 provide all personnel information, guidance, training and necessary authority.

(2) Corporate Plan Details.

(a) Management Continuity.

- 1 Categories of employees;
- 2 Emergency locations
 - a Emergency Operating Centers, and,
 - b Emergency Reporting Centers;
- 3 Actions by corporate employees by category (See paragraph 5b (2) (a) 1 above); and,
- 4 Means of personnel identification.

(b) Records Protection.

- 1 Primary storage center,
- 2 Secondary storage centers; and,
- 3 Types of records in each.

(c) Communications and Controls.

- 1 Command and control system to be followed,
- 2 Location of emergency headquarters; and,
- 3 Communications facilities available.

(d) Emergency Control Operation.

- 1 Details included here or in a Standard Operating Procedure in Annex; and,
- 2 Reference should be made here to special instructions for key personnel.

(e) Personnel Protection Planning.

- 1 Coordination with local Civil Defense officials; and,
- 2 Guidance for family security and protection.

(f) Physical Security. This section should cover need for individual company assessment of situation.

(g) Damage Control and Restoration.

- 1 Use of existing systems or their improvement; and
- 2 Training in chemical biological and radiological warfare.

(h) Government Agencies.

- 1 Relation with transportation operating and support agencies; and
- 2 Relation with Regional Director, FEMA.

(i) Testing. Methods and timing of existing corporate plans.

(j) Checklists.

- 1 Checklists should be included in this Part as a management tool. For quick reaction to emergency situations the use of checklists of actions to be undertaken by executives and key personnel is of great value in insuring that those things which must be done are done. In the event of disaster or attack affecting a modal operating company those who are to direct operations will be working under strain and difficulty compounded by time compression in the need for decision. There will be no time for preparation or correction of work badly done or undone. The checklist will encourage thoroughness and completeness.
- 2 Typical checklists should be prepared by all agencies as examples to corporate management for their use. Such lists could include, but are not limited to the following topics:
 - a Organizational (Corporate) Continuity.
 - (1) Policy Directives - Review of level, coverage, phasing, distribution and similar matters.
 - (2) Succession List - Line of Succession, deputy capability spread (two or more jobs), personal sensitivity and related information.
 - (3) Emergency Headquarters - Facilities, work flow, site selection, procedures.
 - (4) Records Protection.
 - (5) Financial Procedures.
 - (6) Resource Management.
 - b Procedures to Institute Emergency Transportation Controls.
 - (1) Vulnerability.
 - (2) Operational Control.

(3) Communications.

(4) Damage Assessment Procedures and Restoration.

(5) Claimancy and Acquisition.

c Reduction of Vulnerability.

(1) Physical Security.

(2) Fallout Shelter.

(3) Long Range Protection.

d Personal Protection and Survival.

(1) Shelter Readiness.

(2) Personal identification and assignment.

(3) Warning and movement.

(4) Information and morale.

e Civil Defense Training and Operations.

(1) Operating organization.

(2) Employee training.

(3) Tests and exercises.

f Relationships With Others.

(1) Civil Defense, local government.

(2) Area, State, and Regional authorities.

(3) Industrial mutual aid associations.

(4) Stockholders and the public.

g Espionage.

- (1) Protection of information or capacity.
- (2) Specifications and functions of importance to enemy agencies.

h Sabotage, protection against physical covert attack.

Additional Distribution

(Two copies each)

1. Civil Aeronautics Board (CAB)
2. Interstate Commerce Commission (ICC)
3. Maritime Administration (MARAD)
Department of Commerce
4. National Oceanic and Atmospheric Administration (NOAA)
Department of Commerce
5. Tennessee Valley Authority (TVA)
6. Office of the Chief of Engineers (Civil Works)
Department of the Army, DOD (OCE(CW)(D/A)(DOD))
7. Federal Emergency Management Agency (FEMA)

